

10/509740 #2

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
 Shin-ichi KADOWAKI et al. : **Mail Stop: PCT**  
 Serial No. NEW : Attorney Docket No. 2004\_1498A  
 Filed September 30, 2004 :  
 OPTICAL DISC DRIVE, OPTICAL :  
 STORAGE MEDIUM, OPTICAL STORAGE :  
 MEDIUM INSPECTION APPARATUS, AND : THE COMMISSIONER IS AUTHORIZED  
 OPTICAL STORAGE MEDIUM : TO CHARGE ANY DEFICIENCY IN THE  
 INSPECTION METHOD : FEES FOR THIS PAPER TO DEPOSIT  
 [Corresponding to PCT/JP03/04209 :  
 Filed April 2, 2003] : ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*),
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

ATTACHMENT D

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**  
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or  
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification

after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ an International Search Report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

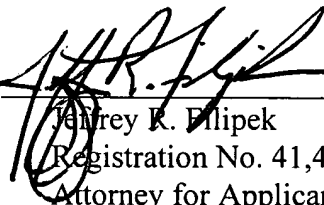
WO 00/28535 corresponds to EP 1 059 630  
WO 01/33568 corresponds to EP 1 229 538  
JP 2002-237036 corresponds to US 6,492,915

5. ☒ An International Search Report citing one or more of the references is enclosed.

Respectfully submitted,

Shin-ichi KADOWAKI et al.

By

  
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September 30, 2004

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: September 30, 2004

ATTY DOCKET NO.  
2004\_1498ASERIAL NO.  
NEWDT00 Rec'd PCT/PTO 30 SEP 2004  
10/509740APPLICANT  
Shin-ichi KADOWAKI et al.FILING DATE  
September 30, 2004

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,492,915	12-10-02	Maeda et al.			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	00/28535	5-18-00	WO			abstract
	AK	1 059 630	12-13-00	Europe			abstract
	AL	01/33568	5-10-01	WO			abstract
	AM	1 229 538	8-7-02	Europe			abstract
	AN	2002-237036	8-23-02	Japan			abstract

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop. this form with next communication to applicant.